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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/897,473	07/03/2001	David Holtzman	OPI-101-CIP-III	7062

7590

07/26/2005

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EXAMINER

REVAK, CHRISTOPHER A

ART UNIT

PAPER NUMBER

2131

DATE MAILED: 07/26/2005

Please find below and/or attached an Office communication concerning this application or proceeding.

## Office Action Summary

Application No.

09/897,473

Applicant(s)

HOLTZMAN ET AL.

Examiner

Christopher A. Revak

Art Unit

2131

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

### Status

- 1) ☒ Responsive to communication(s) filed on 16 May 2005.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

### Disposition of Claims

- 4) ☒ Claim(s) 1-57 is/are pending in the application.
- 4a) Of the above claim(s) 32-52, 54 and 55 is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-31, 53, 56 and 57 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
  - ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

### Attachment(s)

- |  |   |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)                        | 4) <input type="checkbox"/> Interview Summary (PTO-413)                     |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)               | Paper No(s)/Mail Date. _____  |
| 3) <input checked="" type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08) | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152) |
| Paper No(s)/Mail Date <u>see attached</u> .  | 6) <input type="checkbox"/> Other: _____                                    |

## **DETAILED ACTION**

### ***Information Disclosure Statement***

1. The information disclosure statement (IDS) submitted on November 20, 2002 is in compliance with the provisions of 37 CFR 1.97. Accordingly, the examiner is considering the information disclosure statement.

### ***Election/Restrictions***

2. Claims 32-52,54, and 55 are hereby withdrawn from further consideration pursuant to 37 CFR 1.142(b) as being drawn to a nonelected invention. The applicant is correct in identifying that independent claims 53 and 56 are generic and the examiner will examine those claims. Claims 54 and 55 are restricted as being separate species and will be rejoined upon the allowance of generic claim 53.

### ***Claim Rejections - 35 USC § 102***

3. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

4. Claims 1-3,7-17,21-31,53,56, and 57 are rejected under 35 U.S.C. 102(b) as being anticipated by Housley et al.

As per claims 1 and 53, it is taught by Housley et al of a method for providing assurance that a distinguished name (electronic pseudonym) belongs to a member of a particular organization (page 8, section 3.1 and page 19, section 4.1.2.4). It is recited of registering the organization with a certificate authority (authentication authority)(page 12, section 3.5 and page 19, section 4.1.2.4). A certificate (membership token) is distributed from the certificate authority (authentication authority) to the organization that is then distributed to the member (page 7, section 3 and page 19, section 4.1.2.4). The distinguished name (pseudonym) is registered with the certificate authority (registration authority) and the distinguished name is associated with the organization using the certificate (membership token)(page 12, section 3.5 and page 19, section 4.1.2.4).

As per claims 2,16, and 30, it is disclosed by Housley et al that the certificate (membership token) comprises a unique string of alphanumeric and numerical characters (pages 14-15, section 4.1).

As per claims 3,17, and 31, Housley et al teaches that the certificate (membership token) comprises an issuer unique ID (encoded identifier) of the organization (page 14, section 4.1).

As per claims 7 and 21, Housley et al teaches that the certificate (membership token) has a validity period (expiration date)(page 20, section 4.1.2.5).

As per claims 8 and 22, it is disclosed by Housley et al that it is verified if the certificate (membership token) has not expired before associating the distinguished name (pseudonym) with the organization (page 12, section 3.5; page 19, section 4.1.2.4; and page 20, section 4.1.2.5).

As per claims 9 and 23, it is taught by Housley et al that the association of the distinguished name (pseudonym) with the organization has an expiration period (page 12, section 3.5; page 19, section 4.1.2.4; and page 20, section 4.1.2.5).

As per claims 10 and 24, Housley et al teaches of notifying the member when the expiration period has passed (page 20, section 4.1.2.5).

As per claims 11 and 25, it is taught by Housley et al that the association of the distinguished name (pseudonym) with the organization has an expiration date (page 12, section 3.5; page 19, section 4.1.2.4; and page 20, section 4.1.2.5).

As per claims 12 and 26, Housley et al teaches of notifying the member when the expiration date has passed (page 20, section 4.1.2.5).

As per claims 13 and 27, Housley et al discloses of notifying the member prior to the expiration date being reached (page 20, section 4.1.2.5).

As per claims 14 and 28, it is taught by Housley et al of receiving at the certificate authority (authentication authority) a revocation notice from the organization and removing the association of the distinguished name (pseudonym) with the organization according to the revocation notice (page 43, section 5.1.1.1 and page 44, section 5.1.2.3).

As per claims 15, 29, and 57, Housley et al discloses of a method for providing assurance that a document posted to an electronic forum by a user belonging to a particular organization (page 19, section 4.1.2.4). It is recited of registering the organization with a certificate authority (authentication authority) (page 12, section 3.5 and page 19, section 4.1.2.4). A certificate (membership token) is distributed from the

certificate authority (authentication authority) to the organization that is then distributed to the member (page 7, section 3 and page 19, section 4.1.2.4). The distinguished name (pseudonymous identity) is registered with the certificate authority (registration authority) and the distinguished name is associated with the organization using the certificate (membership token)(page 12, section 3.5 and page 19, section 4.1.2.4). A user's digital signature is included within certificate (membership token) for digitally signing information (document) and is used to verify the distinguished name (pseudonymous identity) wherein the information provided in the certificate (membership token) is used to verify that the distinguished name (pseudonymous identity) is a member of the organization (page 12, section 3.5; page 19, section 4.1.2.4; and pages 57-58, section 7.2).

As per claim 56, it is taught by Housley et al of distributing a certificate (membership token) to an organization when the organization registers with the certificate authority (authentication authority)(page 12, section 3.5 and page 19, section 4.1.2.4).

### ***Claim Rejections - 35 USC § 103***

5. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

6. Claims 4-7 and 18-20 are rejected under 35 U.S.C. 103(a) as being unpatentable over Housley et al in view of Grantges, Jr., U.S. Patent 6,324,648.

As per claims 4 and 18, the teachings of Housley et al recite of a distinguished name (pseudonym) associated with a certificate (membership token) that includes membership to an organization, but fail to disclose of a log-in by a user and verifying a permission of the user to manage the certificate (membership token) information that which includes the distinguished name (pseudonym) at the authentication authority. It is disclosed by Grantges of a user providing a user ID and password (log-in) in order to access a certificate authority (authentication authority) whereby requested information of a user could be accessed (col. 12, line 64 through col. 13, line 3 and col. 13, lines 12-14). It would have been obvious to a person of ordinary skill in the art at the time of the invention to have been motivated to apply access control means for protecting certificates that can be accessed through a certificate authority. The teachings of Grantges recite motivation for protecting access to a certificate authority by disclosing by performing authentication on the insecure side of the firewall that separates the private secure network and the insecure public network, the sensitive data on the secure private network is protected by illegal access by a hacker (col. 2, line 63 through col. 3, line 6). It is obvious that the teachings of Housley et al would have found the teachings of Grantges beneficial by protecting access to sensitive data across an insecure network.

As per claims 5 and 19, Housley et al discloses of maintaining information about the identification of the organization from the database comprising the certificates (membership tokens) and corresponding organizations (page 19, section 4.1.2.4).

As per claims 6 and 20, it is taught by Housley et al of decoding the certificate to determine the identity of the organization to be associated with the distinguished name (pseudonym)(page 12, section 3.5; page 14, section 4.1; and page 19, section 4.1.2.4).

### ***Conclusion***

7. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure.

Sipman et al, U.S. Patent 6,889,325 discloses of using pseudonyms to enhance privacy by protecting a user's identity during a transaction.


Hauser et al, U.S. Patent 6,061,789 discloses of protecting the identity of a user by remaining anonymous.

8. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Christopher A. Revak whose telephone number is 571-272-3794. The examiner can normally be reached on Monday-Friday, 6:30am-4:00pm.


If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Ayaz Sheikh can be reached on 571-272-3795. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.



Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

CR  
  
July 19, 2005

Christopher Revak  
AU 2131

  
7/19/05